



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.
09/738 471	12/15/00	P. BLACK	50740(3)

EXAMINER	
F. J. BARTUSKA	
ART UNIT	PAPER NUMBER
3627	5

DATE MAILED:

### INTERVIEW SUMMARY

All participants (applicant, applicant's representative, PTO personnel):

- (1) MR. ROBERT DOWNS (3) \_\_\_\_\_  
(2) F. J. BARTUSKA (4) \_\_\_\_\_

Date of Interview Sept. 5, 2003

Type: ☐ Telephonic ☐ Televideo Conference ☒ Personal (copy is given to ☐ applicant ☒ applicant's representative).

Exhibit shown or demonstration conducted: ☐ Yes ☒ No If yes, brief description: \_\_\_\_\_

Agreement ☐ was reached. ☐ was not reached.

Claim(s) discussed: 1, 11, 18 & 21

Identification of prior art discussed: DONER et al AND BLACK et al

Description of the general nature of what was agreed to if an agreement was reached, or any other comments: THE ATTORNEY INDICATED THAT CLAIM 18 INCLUDES THE SUBJECT MATTER OF CLAIM 1 OF BLACK et al. THE EXAMINER WILL REVIEW DONER et al & DETERMINE IF KEYWORDS ARE FOUND IN THE DOCUMENTS OF THE DATABASE AND IF THOSE KEYWORDS ARE USED IN THE MATCHING.  
(A fuller description, if necessary, and a copy of the amendments, if available, which the examiner agreed would render the claims allowable must be attached. Also, where no copy of the amendments which would render the claims allowable is available, a summary thereof must be attached.)

☐ It is not necessary for applicant to provide a separate record of the substance of the interview.

Unless the paragraph above has been checked to indicate to the contrary, A FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION IS NOT WAIVED AND MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW.

Examiner Note: You must sign this form unless it is an attachment to another form.

*[Signature]*  
9/1/03

## Manual of Patent Examining Procedure, Section 713.04 Substance of Interview must Be Made of Record

Except as otherwise provided, a complete written statement as to the substance of any face-to-face or telephone interview with regard to an application must be made of record in the application, whether or not an agreement with the examiner was reached at the interview.

### §1.133 Interviews

(b) In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111 and 1.135. (35 U.S.C. 132)

§ 1.2. Business to be transacted in writing. All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete a two-sheet carbon interleaf Interview Summary Form for each interview held after January 1, 1978 where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks in neat handwritten form using a ball point pen. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, pointing out typographical errors or unreadable script in Office actions or the like, or resulting in an examiner's amendment that fully sets forth the agreement are excluded from the interview recordation procedures below.

The Interview Summary Form shall be given an appropriate paper number, placed in the right hand portion of the file, and listed on the "Contents" list on the file wrapper. In a personal interview, the duplicate copy of the Form is removed and given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephonic interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication.

The Form provides for recordation of the following information:

- Application Number of the application
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (personal or telephonic)
- Name of participant(s) (applicant, attorney or agent, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the claims discussed
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). (Agreements as to allowability are tentative and do not restrict further action by the examiner to the contrary.)
- The signature of the examiner who conducted the interview
- Names of other Patent and Trademark Office personnel present.

The Form also contains a statement reminding the applicant of his responsibility to record the substance of the interview.

It is desirable that the examiner orally remind the applicant of his obligation to record the substance of the interview in each case unless both applicant and examiner agree that the examiner will record same. Where the examiner agrees to record the substance of the interview, or when it is adequately recorded on the Form or in an attachment to the Form, the examiner should check a box at the bottom of the Form informing the applicant that he need not supplement the Form by submitting a separate record of the substance of the interview.

It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview:

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner. The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he feels were or might be persuasive to the examiner,
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete or accurate, the examiner will give the applicant one month from the date of the notifying letter to complete the reply and thereby avoid abandonment of the application (37 CFR 1.135(c)).

### Examiner to Check for Accuracy

Applicant's summary of what took place at the interview should be carefully checked to determine the accuracy of any argument or statement attributed to the examiner during the interview. If there is an inaccuracy and it bears directly on the question of patentability, it should be pointed out in the next Office letter. If the claims are allowable for other reasons of record, the examiner should send a letter setting forth his or her version of the statement attributed to him. If the record is complete and accurate, the examiner should place the indication "Interview record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

### **Interview: Issues for Discussion**

1) Doner does not disclose the claimed “products available for purchase”

2) Claim: “statistical frequency analysis of the word occurrence in the document to determine keywords”

Doner discloses determination of a document’s relevance based on a ranking weight of each document (col. 7, lines 15-36). The ranking weight is calculated based on a function of frequency of keywords in the document and a function of the distribution of the keywords within the database.

Doner does not disclose word frequency analysis to determine keywords.

Key Difference: Doner discloses frequency analysis of keywords in a document while the claimed invention is directed to frequency analysis of word occurrence in a document to determine keywords.

3) Claim: “statistical frequency analysis of the word occurrence in the document to determine the subject matter of the document”

In determining the subject word of each sentence, Doner teaches performing a dictionary look up to determine parts of speech or performing a natural language processing algorithm (col. 8, lines 1-12) Dictionary look up or natural language processing are not statistical frequency analysis. However, Doner further teaches determining the three most common subject words in the reference document, as well as the alternative approach of inclusion of the frequencies of occurrences of subject words as a factor in the statistical relevance calculation (col. 8, lines 29-31).

Thus, Doner discloses a frequency analysis of subject keywords, not necessarily a frequency analysis of word occurrence to determine the subject.

Claim 1	Doner
A system for <u>displaying products available for purchase</u> to consumers who are displaying a document comprising:	Products = documents which are relevant to the three most common subject words are displayed (col. 8, lines 19-21) Document = reference document (col. 7, lines 59-60)
a computer conducting a statistical frequency analysis of the word occurrence in the document to determine keywords for the document,	Determining the weighted relevance of documents: frequency of keywords in the document (col. 8, lines 13-15; col. 7, lines 15-22)
a display device displaying a list of products which are relevant to the keywords which have been determined.	documents which are relevant to the three most common subject words are displayed (col. 8, lines 19-21)

Claim 11	Doner
A system for <u>displaying products available for purchase</u> to consumers who are displaying a document comprising:	Products = documents which are relevant to the three most common subject words are displayed (col. 8, lines 19-21) Document = reference document (col. 7, lines 59-60)
a computer conducting a statistical frequency analysis of the word occurrence in the document to determine keywords for the document,	Determining the subject words of the reference document (col. 7, line 59, to col. 8, line 12); determining the three most common subject words (col. 8, lines 18-19)
conducting a statistical frequency analysis of the word occurrence in the product descriptions,	Determining distribution of keywords within the database (col. 7, lines 19-22)
determining keywords for each of the products,	Determining frequency of keywords in each document (col. 7, lines 19-21)
matching the keywords in the document to the keywords in the product descriptions	Determining documents which are relevant to the three most common subject words
a display device displaying those products with matching keywords.	Displaying documents which are relevant to the three most common subject words (col. 8, lines 19-23)

Claim 18	Doner
A computer system for selecting	Products = documents which are

and suggesting <u>products available for purchase</u> that would be of interest to consumers viewing a displayed document, comprising:	relevant to the three most common subject words are displayed (col. 8, lines 19-21) Document = reference document (col. 7, lines 59-60)
means for conducting a statistical frequency analysis of the word occurrence in the document to determine the <u>subject matter</u> of the document, the subject matter being the most frequently occurring concepts, people, places or things, and the <u>keywords</u> in the document, the keywords being determined by the frequency analysis or by comparison to a pre-selected keyword list;	Subject matter = subject words of the reference document (col. 7, line 59, to col. 8, line 12); determining the three most common subject words (col. 8, lines 18-19)  Statistical frequency analysis = word look up in stored dictionary or natural language processing algorithm (col. 8, lines 1-12); determining the three most common subject words  Keywords = other words in a sentence (col. 8, lines 32-40)
means for producing a list of products which are relevant to the subject matter and associated keywords;	Determining weighted relevance of documents in the database (col. 8, lines 13-15)
means for displaying the list of products.	Documents which are relevant to the three most common subject words are displayed (col. 8, lines 19-23)

Claim 21	Doner
A computer implemented method for selecting and suggesting <u>products available for purchase</u> that would be of interest to consumers viewing a displayed document, comprising:	Products = documents which are relevant to the three most common subject words are displayed (col. 8, lines 19-21) Document = reference document (col. 7, lines 59-60)
computing a statistical frequency analysis of the word occurrence in the document to determine the <u>subject matter</u> of the document, the subject matter being the most frequently occurring concepts, people, places or things, and the <u>keywords</u> in the document, the	Subject matter = subject words of the reference document Statistical frequency analysis = natural language processing algorithm  Keywords = other words in a sentence (col. 8, lines 32-40)

keywords being determined by the frequency analysis or by comparison to a pre-selected keyword list;	
generating a list of products which are relevant to the subject matter and associated keywords;	Determining weighted relevance of documents in the database (col. 8, lines 13-15)
displaying the list of products.	Documents which are relevant to the three most common subject words are displayed (col. 8, lines 19-23)